



RECORDS RETENTION SCHEDULE



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

RECORDS RETENTION SCHEDULE

Signature Page

Cabinet for Health & Family Services

Agency

June 8, 2006

Schedule Date

Department for Mental Health & Mental Retardation

Services

Unit

Change Date

June 8, 2006

Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

John M. Bunt
Agency Head

June 8, 2006
Date of Approval

Virginia Brown
Agency Records Officer

June 8, 2006
Date of Approval

Richard L. Felding
State Archivist and Records Administrator
Director, Public Records Division

June 8, 2006
Date of Approval

[Signature]
Chairman, State Archives and Records Commission

6/8/06
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

[Signature]
Records Analyst/Regional Administrator

8 JUNE 06
Date of Approval

[Signature]
Appraisal Archivist

June 8, 2006
Date of Approval

[Signature]
State/Local Records Branch Manager

8 JUNE 06
Date of Approval

The determination as set forth meets with my approval.

Brian L. Harris
Auditor of Public Accounts

6-8-2006
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: June 08, 2006

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Division of Mental Health and Substance Abuse

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
1243	Original and Continuation Grant Applications	CLOSED SERIES - Covered on the General Schedule by series F0111 Agency Grant Project File - Federal and State This series contains financial information related to the specified budget period as well as narrative information related to completed and proposed goals and/or objectives for obtaining funding for substance abuse treatment and prevention services. Also contains information on how funding previously approved was expended and a plan on how requested funding will be used.	grant application information	Agency: 10	Records Center:	Archives Center: P
				Transfer to Archives		
04994	Driving Under the Influence Referral Form (C) 908 KAR 1:310 Section 3 (7)	This series documents referrals to a public or private entity approved by the Division to deliver assessment, education or treatment services to a client convicted of DUI (driving under the influence of alcohol or other drugs in violation of KRS 189A.010). The form is initiated by the assessment center, upon receipt of an order of the court. Information from the series is used by the Division to monitor the more than 100 programs across the state. Periodic inspections of the programs by the Division are also conducted. Information from the series is useful for research studies relating to recidivism.	Series contains: Date, name, address, telephone number; social security number and driver license number of offender. Section to be completed by the program includes 1) whether the person appeared for assessment; 2) person enrolled and is scheduled for 3) person referred for specific services; referral comments; program code; program address; case management information; and a section to be completed by the education treatment program	Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
05327	Client Application File - (Documents approval of services for children who are severely emotionally disturbed or have specific mental health conditions) (C) KRS 194A.060 and 907 KAR 3:030E, Section 7, 9	This series documents the approval of services from the IMPACT Plus Program. The program serves children from birth to 21 years of age who are severely emotionally disturbed or who have specific mental health conditions. It is a program of community based behavioral health services provided through an agreement between the Department for Mental Health/Mental Retardation and the Department for Public Health. The children require two or more services to help them avoid institutionalization. The program is funded by Medicaid and the services are provided through a network of IMPACT Plus approved providers. Service plans and requests for services reflect the progress and needs of the children being served and the authority to provide the services.	Series contains: Psychological examinations; medical records; application, commitment papers; therapy notes; correspondence; requests and approvals/denials for services; goals and objectives; plans of care; and freedom of choice forms	Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center. Destroy after audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Division of Mental Health and Substance Abuse

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
05339	Remittance Advice File - (To advise providers of charges paid, pending, adjusted or denied) (C) KRS 194A.060	This series documents the notice sent to providers, under the IMPACT Plus Program, to advise them of the charges that were paid, those that are pending, and those that have been adjusted or denied. The IMPACT Plus Program serves persons from birth to 21years who are severely emotionally disturbed or who have specific mental health conditions. The children require two or more services to help them avoid institutionalization. The program is funded by Medicaid and the services are provided through a network of IMPACT Plus approved providers.	Series contains: Provider number; batch run date; remittance advice number; recipient's last name, recipient's Medicaid identification number; transaction control number for identification of individual claims; service code; service modifier code; number of units reimbursed; approved dates for services; billed charges; claim payment amount; and an explanation of benefits code	Agency: 5 yrs	Records Center: 5	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
05480	Medicaid Waiver Client File - Acquired Brain Injury (ABI) (C) KRS 194A.060	This series documents client health information pertinent to an acquired brain injury (ABI). An ABI is an injury to the brain which is not hereditary, congenital or degenerative. This includes central nervous system injury from physical trauma, anoxia or hypoxic episodes and allergic conditions, toxic substances, and other acute medical/clinical incidents. The ABI Medicaid Waiver Program is designed to provide intensive services and supports to adults with acquired brain injuries as they work to re-enter community life. To qualify for services, an individual must: have an acquired brain injury; be between the ages of 21 years and 65 years; meet nursing facility level of care; be expected to benefit from waiver services; and be financially eligible for Medicaid services. It is expected that upon completing the program, people will be transitioned to other existing community resources.	May include: Client health information pertinent to brain injury; freedom of choice form; MAP 4096 Memorandum of Understanding; MAP 4099 Physician's Certificate Form; MAP 350 Long Term Care Facilities and Home & Community Based Program Certification Form; MAP 351A ACB Waiver Client Assessment; ABI Waiver Plan of Care Checklist; Power of Attorney; ABI Waiver Plan of Care Review; MAP 24B Brain Injury Waiver Admission/Discharge; Pro Confirmation Notice; MAP 4097 Home and Community Based Services Program ABI Plan of Care; Plan of Care modification; goals and objectives; cost worksheet; ABI Waiver Program Plan of Care; Review and prior-authorization form; crisis prevention plan; transition plan; correspondence; discharge letter; MAP 552K Notice of Availability of Income; other necessary documentation.	Agency: 3	Records Center: 7	Archives Center:
				Transfer to State Records Center.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Division of Mental Health and Substance Abuse

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
05481	Medicaid Waiver Provider File (ABI) (C) KRS 194A.060	This series documents health care provider information pertinent to an acquires brain injury (ABI). The ABI Medicaid Waiver Program is designed to provide intensive services and supports to adults with acquired brain injuries as they work to re-enter community life. Fourteen services are funded, including case management, personal care, companion services, respite care, environmental modifications, behavior programming, counseling and training, structured day program, specialized medical equipment and supplies, prevocational services, supported employment, occupational therapy, speech and language services, and community residential services (excluding room and board). Specific providers will offer various, though not all, services. Providers must apply annually to be part of the program.	Provider Medicaid waiver; provider application; review documentation; correspondence; other provider documentation.	Agency: 7 years	Records Center:	Archives Center:
				Destroy after audit.		
05482	Outcomes Data File (IMPACT Plus) (C) KRS 194A.060	This series documents the IMPACT Plus Outcomes Information System (OIS). IMPACT Plus is a behavioral health program for Medicaid eligible children with complex behavioral healthcare needs, which was developed to increase the variety and availability of community-based service options and to decrease the need for inpatient care. IMPACT Plus OIS has been a part of IMPACT Plus since October 1, 2001. The purpose of IMPACT Plus OIS is to gather data on the clinical aspects of care including improvement, functioning, hopefulness or overall well-being, consumer satisfaction of services, and placement stability. Staff utilize two tools, Youth Problem, Functioning, and Satisfaction Scales (Ohio Scales) and the Child Behavior Checklist (CBCL), to gather data. This allows more effective analysis and planning, and permits sub-providers to meet the legal requirement that they "measure and report the outcome of a service." (907 KAR 3:030 Section 7(7)) This series permits the tracking of children in their respective programs and well as the outcomes demonstrated by those children.	Child's name; child's status in the IMPACT Program; whether the child has submitted outcomes; results of submitted outcomes; case manager's name and supervisor; turnaround time of outcome forms; types of errors on the forms.	Agency: 6	Records Center:	Archives Center:
				Destroy after audit.		
05483	Claims (IMPACT Plus) (C) KRS 194A.060	This series documents claims against the IMPACT Plus Program by sub-providers. The information is used to generate site review reports and cumulative claim dates on approved and denied claims, to properly manage the program as a whole and to monitor specific sub-providers.	Claimant's name; nature of claim; amount of claim; approved or denied	Agency: 6	Records Center:	Archives Center:
				Destroy after audit		
05484	Subprovider Employee File (IMPACT Plus) (C) KRS 194A.060	This series documents efforts on the part of the IMPACT Plus Program to ensure that its subproviders are hiring qualified, competent employees.	Subproviders' employees' applications, resumes, licensure information, criminal background checks, academic transcripts.	Agency: 6 years	Records Center:	Archives Center:
				Destroy after audit		
05485	Site and Billing Review Files (IMPACT Plus) (C) KRS 194A.060	This series documents reviews of subproviders conducted by IMPACT Plus staff. Reviews are conducted of client files and subprovider billing practices.	May contain: Subprovider billing and client information, reviewer notes, official reports, corrective action plan	Agency: 6	Records Center:	Archives Center:
				Destroy after audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Division of Mental Health and Substance Abuse

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
05488	Medication Distribution Documentation (Second-Generation Anti-Psychotic Replacement Program) (C) KRS 194A.060; KRS 210.235	This series documents the distribution of antipsychotic medication under the Second Generation Antipsychotic Replacement Program for Adults (Replacement Program). The Replacement Program was established by the Department for Mental Health and Mental Retardation Services in 1999 to provide atypical antipsychotic medications to individuals upon their release from state psychiatric hospitals who had received such medications while institutionalized and had no other means of purchasing them. The program was a policy rather than a legislative decision and, prior to 1999, operated unofficially in the four state psychiatric hospital pharmacies. These pharmacies provided the atypical antipsychotic medications to individuals enrolled in the program, with funding assistance from an appropriation provided by the state legislature. However, because the number of individuals eligible for the program was constantly changing, the program became an unmanageable expense and required a considerable amount of paperwork. In 2001, the Replacement Program was discontinued in three of the four state hospitals.	Patient's name, SSN, medication, reason for medication	Agency: 3	Records Center: 5	Archives Center:
				Transfer to State Records Center. Destroy after audit.		
05489	Client Files - DUI Program (DUI) (C) KRS 194A.060; 42 CFR (V)	This series represents files maintained on clients of the DUI Program. Per KRS 189A.040(6), the DUI Program is responsible for monitoring and regulating the statewide network of more than 100 Driving Under the Influence (DUI) programs licensed and certified to provide alcohol and other drug assessments, education and treatment services to persons convicted of DUI.	Documentation of: patient evaluation; program progress and completion or non-completion. Correspondence.	Agency: 3 years	Records Center: 3 years	Archives Center:
				Transfer to State Records Center		
05490	Program Files - Revoked (DUI) (C) KRS 194A.060; 42 CFR; 908 KAR 1:310	This series documents complaints against and actions taken to discipline individual licensed Driving Under the Influence (DUI) programs by the Mental Health and Substance Abuse Division's DUI Program. Per KRS 189A.040(6), the DUI Program is responsible for monitoring and regulating the statewide network of more than 100 DUI programs licensed and certified to provide alcohol and other drug assessments, education and treatment services to persons convicted of DUI.	Application, complaints, correspondence, reports	Agency: 3 years	Records Center: 5 years	Archives Center:
				Transfer to State Records Center		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: June 08, 2006

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
1240	Patient Index Card File (C) KRS 194A.060	This series is a reference guide of the current patients in the facility that is used by the Front Desk and Admissions for information only.	Name and date of birth of patient, unit in facility, dates of admission and discharge	Agency: Indefinite	Records Center:	Archives Center: Add card to Patient's Master Medical File at time of discharge.
1241	Admission - Discharge Register (C) KRS 194A.060, 304.17a-555, 42CFR2.1, 902KAR20	This series documents patients who are admitted and discharged from a facility. This information is used in Census reporting.	Patient's name, Social Security Number, admission date & time, mode of transportation, transporting agency, county of residence and admission, legal status at time of admission, re-admission and new patient indicators, religion, unit assigned, Physician, diagnosis at time of admission or discharge.	Agency: Permanent	Records Center:	Archives Center: Retain in Agency
1247	Discharge Summaries (C) KRS 194A.060, 304.17a-555, 42 CFR 2.1, 902 KAR 20	This record is a detailed list of the number of patients discharged on a daily basis.	Patient's name, age, Social Security Number, discharge date, current medical condition, Physician signing off on the discharge, and to where the patient was transferred or discharged.	Agency: 10	Records Center:	Archives Center: Destroy
1273	Medical Clinic - Outside Clinic Referrals (Consists of notices of doctor and dental appointments for residents.) (C) KRS 194A.060	This series documents Doctor's appointments outside of the facility.	Date the Doctor ordered the appointment, date clinic contacted, date the appointment was scheduled, date the order was faxed, date and time of appointment, patient name, ordering Doctor's name, unit number, clinic, appointment location, refusal or acceptance of clinic, clinic cancellation, patient discharged, staff accompanying patient to appointment.	Agency: 5 years	Records Center:	Archives Center: Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
1334	Litigation Action Files (C) KRS 194A.060 & 194A.065, 200 KAR 1:020, KRS 61.870	This series documents pending litigation actions against staff, patients, or the facility.	Information about people involved - name, age, sex, work history, medical information.	Agency: Indefinite	Records Center:	Archives Center:
				Destroy when litigation action terminated and is no longer useful		
1335	Special Reports (C) KRS 194.060	This series documents one-time specialty reports created to assist in the daily operation of the facility or daily care of the patients.	Financial, fiscal, personal, and medical information.	Agency: Indefinite	Records Center:	Archives Center:
				Destroy when no longer useful.		
1343	Disease Log (C) KRS 194A.060 & 194A.065, 200 KAR 1:020, KRS 61.870	This is a record of all patients with a communicable disease.	Patient's name and medical history, name of disease, necessary safety measures, unit number.	Agency: Indefinite	Records Center:	Archives Center:
				Transfer to Patient's Master Medical File (series 1527) at time of discharge.		
1344	Death Register (C) KRS 194A.060	This record is a listing of all patients who died during their stay at the facility.	Patient's name; date, time, and cause of death; Physician who pronounced the death; location to which the body was transferred.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
1350	24 Hour Bed Census Report with A/D/T Report (C) KRS 194A.060, 304.17a-555, 42CFR2.1, 902 KAR 20	This record is a summary, by unit, of admissions, discharges, leaves, and transfers. It lists the name of each patient in the unit as of midnight.	Patient's name, assigned unit, dates of admission and discharge.	Agency: 2	Records Center:	Archives Center:
				Destroy after audit.		
1437	Hospital Policies and Procedures	This record is the written policy and procedure that governs the daily operation of the facility and which all employees must follow.	Details of policies and procedures for all facilities.	Agency: Indefinite	Records Center:	Archives Center:
				Retain in Agency. Destroy when new revised version is published.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
1439	Occupational Therapy Evaluations (C) KRS 194A.060 & 164A.065, 200 KAR 1:020, KRS 61.870	This series documents a complete psychiatric profile of the activities of daily living for each patient under psychiatric care, as well as Doctor's notes and medication being taken.	Patient's name, age, medical information	Agency: Indefinite	Records Center:	Archives Center: Transfer to Patient's Master Medical File after evaluation.
1440	Occupational Therapy Progress (C) KRS 194A.060 & 194A.065, 200 KAR 1:020, KRS 61.870	This series documents the progress each patient makes with Occupational Therapy sessions.	Patient's name and medical information, Therapists' notes, daily progress reports, medications given, type of therapy given.	Agency: Indefinite	Records Center:	Archives Center: Transfer to Patient's Master Medical Folder after therapy is complete or patient is discharged from the facility.
1443	Patient's Records of Personal Belongings	This series documents any belongings a patient has upon admission. A log is created to list and identify all items (clothing, purse, wallet, items to go in their room, etc). This record is signed off by the guardian of the patient. Any additional items brought in are entered on the log before the patient receives them. The log ensures that all items follow the patient when moved to another unit of the facility or upon discharge.	Patient's name, ID number, list of items, signature of patient guardian or of the giver of item.	Agency: Indefinite	Records Center:	Archives Center: Transfer to Discharge Report at the appropriate time.
1448	Dental Health Record (C) KRS 194A.060	This series documents all dental treatment received by patients.	Patient's name, Dentist's name and notes, date seen, treatment given.	Agency: Indefinite	Records Center:	Archives Center: Transfer to Patient's Master Folder after discharge.
1449	Card File on Denture Patients (C) KRS 194A.060	This record serves as a quick reference to all patients who have dentures.	Patient's name, when received dentures, and any problems.	Agency: Indefinite	Records Center:	Archives Center: Destroy after Patient is discharged
1450	Dental Card File (Rolodex) for All Patients (Rolodex) (C) KRS 194A.060	This record serves as a quick reference to all patients and dates of dental services.	Patient's name, age, unit located in, and dates of dental services.	Agency: Indefinite	Records Center:	Archives Center: Destroy after Patient is discharged

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
1463	Fire and Safety Reports	.		Agency: 2	Records Center:	Archives Center:
				Destroy		
1465	Sprinkler System Inspection			Agency: 2	Records Center:	Archives Center:
				Destroy		
1475	Cashier's Office Report	This series documents all cash, checks, and monies received by the hospital for deposit.	Sender of monies, date received and deposited.	Agency: 3	Records Center: 5	Archives Center:
				Transfer to Records Center. Destroy after audit.		
1482	Guardian and Patients Funds Ledgers (C) KRS 194A.060	This series documents a patient's personal spending account.	Patient's name, Social Security Number, personal account information, date and amount of money deposited, date and amount of money withdrawn and by whom (patient or guardian).	Agency: 3	Records Center: 5	Archives Center:
				Transfer to Records Center. Destroy after audit.		
1483	Guardian and Patients and Clearing Funds Cash Journal (C) KRS 194A.060	This series documents all cash receipts to a patient's personal accounts.	Patient's name, Social Security Number, Unit of facility that they are in, date cash was received, sender and amount of cash.	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
1484	Guardian and Patients Fund Check Stubs (C) KRS 194A.060	This series documents stubs from checks written on the patient's personal account on behalf of the patient.	Patient's name, account number, date check written, to whom it was written, check amount, purpose of check	Agency: 3	Records Center: 5	Archives Center:
				Transfer to Records Center. Destroy after audit.		
1485	Guardian and Patients Fund Cancelled Checks (C) KRS 194A.060	This series documents all cancelled checks and bank statements of patients' personal account.	Patient's name, personal banking information	Agency: 3	Records Center: 5	Archives Center:
				Transfer to Records Center. Destroy after audit.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
1486	Guardian and Patients Fund Bank Deposit Slips (C) KRS 194A.060	This series documents all deposits made on a patient's personal account.	Original deposit slips with receipts attached, patient's name, account number	Agency: 3 years	Records Center: 5 years	Archives Center:
				Transfer to Records Center. Destroy.		
1494	X-Ray Films and Report (C) KRS 194A.060	This series documents photographic x-ray film and the report of the reading by the Radiologist.	patient's name, age, sex, and x-ray film and findings	Agency: 5 years	Records Center:	Archives Center:
				Destroy		
1509	Narcotics Dispensed Inventory (C) 201 KAR 2:170 and KRS 194A.060	This series documents all narcotics given to patients at a facility.	Patient's name, name and dose of narcotic, date and time given, prescribing Doctor, name of attendant who dispensed it	Agency: 6 years	Records Center:	Archives Center:
				Destroy		
1510	Annual Pharmacy Controlled Substances Inventory	This record is a detailed list of all controlled substances ordered, housed, and dispensed.	drug name, purchase date, dispensed date and dosage, expiration date, amount discarded	Agency: 2 years	Records Center:	Archives Center:
				Destroy		
1511	Prescriptions for Medicine (C) KRS 194A.060	This record documents prescriptions written by Doctors.	Patient name and unit they are in, drug name and dosage prescribed, prescribing Doctor's name	Agency: 6 years	Records Center:	Archives Center:
				Destroy		
1512	Nursing Unit Drugs Dispensed Log (Abuse Drugs Administered) (C) KRS 194A.060	This record is a listing of all drugs that are kept in the Unit for fast access in case there is a medical emergency and the drugs need to be given immediately. It is updated at the beginning and ending of each shift.	Patient name, drug name and dosage, dispensing Nurse's name, medical reason for giving drug	Agency: 6 years	Records Center:	Archives Center:
				Destroy		
1519	Physician Orders Duplicates (Duplicate) (C) KRS 194A.060	This series documents a copy of the original prescriptions of all medicines that have a Doctor's direction for refills listed. The copy is used for reference to refill medications without requesting a new prescription.	Patient's name and unit, drug name and dosage, prescribing Doctor's name.	Agency: 1 year	Records Center:	Archives Center:
				Destroy after 1 year or when all prescribed refills have been dispensed.		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
1526	Admission Register (C) KRS 210.235, KRS 194A.060, KRS 219 and KRS 235	Admission Registers are created to keep a current log of patients admitted to the State's mental health hospitals. These registers are a requirement of the licensing and regulation authority.	Patient's name, address, Social Security Number, admittance date	Agency: 5 years	Records Center: Permanent	Archives Center:
Transfer to Records Center						
1527	Patient's Master Medical Records Folder (May Include: Admission Record, Therapy Records, Autopsy, Consents/Authorizations, Dental, Legal Documents, Psychiatric) (C) (C) KRS 194A.060, KRS 219, and KRS 235 Change Date: 6/1/1983	This series contains any and all documentation of a patient's stay and treatment.	May include: activity therapies, admission history, admission papers, audiological evaluation, autopsy report, burial transit permit, Chaplain reports, consents and authorizations, consultations, dental reports, ECT, EEG, EKG, face sheet, graphic records, integrated treatment plan, interdisciplinary team staffing, laboratory reports, language and speech evaluation, leave slips, medication report, nursing reports, occupational therapy report, other legal documents, other special forms (height, weight, menstrual, seizure, immunizations, restraint, seclusion, patient index card, adressograph plate), patient's rights, patient work card, physical examinations, physician report, preadmission history, progress notes, psychiatric medical reports, referral unit index, rehabilitation report, request and evaluation, social service reports, summary of hospitalization, TPR(temperature, pulse, and respiration), x-ray report, any and all documentation of patient's stay and treatment.	Agency: Indefinite	Records Center: 10 years	Archives Center: P
Maintained in Agency for 5 years after discharge. Transitory and duplicate materials may be screened and destroyed prior to storage or transfer. Transfer to State Records Center. After 10 years, transfer to State Archives Center						

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
1533	Daily Population Report of Patient Movement (C) KRS 194A.060	This series documents the patients and in which cottage they live. It is updated daily as to which patients are moved where and why.	Patient's name, cottage they live in, cottage they move to, date and reason for move.	Agency: 1	Records Center:	Archives Center:
				Destroy		
1533.1	Daily Cottage Log of All Residents (C) KRS 194A060, 194A065, 61.870, 200 KAR 1:020	This is a log of all residents within the cottage and their daily activity. It included treatment from staff, diet intake, body functions, mental and physical condition, and any problems or incidents.	Patient's name, cottage they live in, and all daily functions - physical, mental, and social.	Agency: 2 years	Records Center: 3 years	Archives Center:
				Transfer to Records Center.		
1533.2	Daily Shift Supervisor's Report (Oakwood 88-6-11-1) (C) KRS 194A.060 Change Date: 4/1/1980	Each cottage has 3 shifts and a supervisor on each shift. That supervisor is responsible for logging everything that takes place in that cottage during their shift - any changes in residents' daily routine or behavior, any problems with staff or residents, documented account of all incidents, any changes in residents' medical status.	Resident's name, daily account of resident's physical and mental status.	Agency: 2 years	Records Center: 3 years	Archives Center:
				Transfer to Records Center.		
1534	Diet Manual	This record serves as a guide for Physicians and Dietitians to use in prescribing modified diets, and for personnel in healthcare facilities to interpret and follow Physicians' orders.	Modified diets	Agency: Indefinite	Records Center:	Archives Center:
				Destroy after new revision copy is published.		
1535	Sanitation Inspection	Certificate of sanitation inspection issued by the city in which the facility is located. The certificate shows patrons the score that the dietary unit has received and that they have passed the health requirement of the inspection.	Certificate of Inspection	Agency: 5 years	Records Center:	Archives Center:
				Destroy		
1536	Monthly Food Cost	This series documents the food order, delivery sheet, and invoice. The information is used to determine the cost of food and a census of the most economical vendors.	Delivery sheet, invoices, signatures	Agency: 3	Records Center:	Archives Center:
				Destroy after audit.		
1537	Dietary Menus	This series documents menus designed to fit patients' dietary needs. It's a list of items that are served at each meal and alerts patrons of food choices per meal.	food items served at each meal	Agency: 3 mos	Records Center:	Archives Center:
				Destroy		

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
MHMR Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
1538	Food Evaluation Questionnaire (X) KRS 194A.060	This series documents the questionnaire given to patients and staff to complete about the quality of food, services, and staff of the dietary unit. This unit is used to make improvements or changes in the dietary section.	questionnaire, person's name, questions and answers about food selections	Agency: 2 years	Records Center:	Archives Center: Destroy after audit.
1539	Monthly Diet Orders (C) KRS 194A.060	This series documents special dietary needs of the patients. It's updated whenever there is a change in the patient's dietary status.	Name of patient, unit they are in, diet needs, Doctor who issued the diet, any diet changes, special requests, snack requests, food consistency.	Agency: Indefinite	Records Center:	Archives Center: Destroy after patient is discharged.
1547	Visitor's Permit and Sign-In Sheet (C) KRS 194A.060	This series documents all visitors to the facility. This book allows us an accurate account of all additional people that are in the facility at any given time and acts as a safety measure for the protection of the patients.	Date, time, visitor's name and section they are visiting, purpose of visit, patient's name.	Agency: 2 years	Records Center:	Archives Center: Destroy
1552	Security Daily Log and Parking Permit Registration (C) KRS 194A.060	This series documents the log of all persons entering the facility, all visitor's parking permits issued, and any incidents that happen while the person is on the facility grounds.	Visitor's name, license plate number, make & model of vehicle, arrival and departure time, person visited, any incidents that happen.	Agency: 2	Records Center:	Archives Center: Destroy
04397	Activity Log for Security	This series documents those persons provided access to the security files containing records of deceased patients or patients in litigation with the hospital. The log helps to monitor those who handle the security files, who removes or replaces the files, and a reason why a file is requested. The form is an effort to limit access to the files, keeping the files in the hands of those who have responsibility for them and preventing them from getting lost or misplaced.	Patient Name; Requestor's Signature; Date/Time File Removed; Date/Time File Refiled; Reason Needed.	Agency: Indefinite	Records Center:	Archives Center: Destroy page when all litigation has ceased and is no longer useful

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: June 08, 2006

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Division of Administration and Financial Management

Records Title		Retention	
Series	and Description	Function and Use	Disposition Instruction
847	Comprehensive Care Center Audit Reports	This series documents an independent opinion as to whether the Cost Report presents fairly, the information shown therein, in compliance with the Cabinet Cost Principles and Reporting Requirements. Each Audit Report includes the actual Cost Report. Office of Management and Budget A-133 Financial Statement Audit Report Financial Statements, present fairly, the financial position of the Center and whether the Center has met Compliance Requirements described in Office of Management and Budget Circular A-133 with regard to its major Federal programs.	Budget, Cost, and Audit Reports for Comprehensive Care Centers Agency: 5 years Records Center: 10 years Archives Center: Transfer to Records Center for 10 years. Destroy.
1554.01	Plans, Budgets, Revisions and Contracts		Agency: 5 Records Center: Archives Center: P Transfer to State Archives
1554.02	Surveys - Site File		Agency: 5 Records Center: Archives Center: P Transfer to State Archives
1554.03	Grant Awards		Agency: 5 Records Center: Archives Center: 10 Transfer to State Archives
1554.04	Grant Applications and A-95 Review		Agency: 5 Records Center: Archives Center: Destroy
1554.05	Liaison Coordinator's Reports		Agency: 5 Records Center: Archives Center: Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Division of Administration and Financial Management

Records Title		Retention		
Series	and Description		Disposition	Instruction
1554.06	Parole Board Referrals to Comprehensive Centers	Agency: 5 Records Center: Archives Center:	Destroy	
1554.07	Reports and Contracts - Title I, Title X, Title XIX, and Title XX (Duplicate)	Agency: 5 Records Center: Archives Center:	Destroy	
1554.08	Utilization Review Plan and Report	Agency: 5 Records Center: Archives Center:	Destroy	
1554.09	Board of Education/Training Material	Agency: I Records Center: Archives Center:	Destroy when obsolete	
1554.10	Funding Formula Explanation	Agency: I Records Center: Archives Center:	Destroy when obsolete	
1554.11	Guideline and Survey Procedures	Agency: I Records Center: Archives Center:	Destroy when obsolete	
1554.12	National Institute Drug Abuse Training Course	Agency: I Records Center: Archives Center:	Destroy when obsolete	
1554.13	Payment Authorizations	Agency: I Records Center: Archives Center:	Destroy when obsolete	

STATE AGENCY RECORDS RETENTION SCHEDULE

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Division of Administration and Financial Management

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
1554.14	Policy and Procedure Manual			Agency: 1	Records Center:	Archives Center:
				Destroy when superseded		
05486	Contract Files (C) KRS 194A.060; KRS 194A.065; 200 KAR 1:020	This series documents all contractual relationships entered into by the department with outside vendors and contains all related materials.	May contain: contract; modifications to contract; budget verification form; budget attachments; sole source request and correspondence.	Agency: 5	Records Center: 15	Archives Center:
				Transfer to State Records Center		

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date: June 08, 2006

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Cabinet for Health and Family Services
Department for Mental Health and Mental Retardation Services
Council on Developmental Disabilities

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
219	Program Performance Reports (C) KRS 194A.060	This series documents information collected from the performance of the many programs administered by Kentucky Developmental Disabilities Council. This data is the means of analyzing and evaluating the many programs KDDC administers and plays a major role in what services should and should not be provided.	This data contains clients' personal information.	Agency: 5	Records Center: P	Archives Center:
				Send to Records Center.		
05491	Consumer Involvement Fund File (C) KRS 194A.060	The Consumer Involvement Fund provides financial assistance to persons with disabilities, their families and guardians to attend conferences and short-term educational programs, up to \$500.00 per person per fiscal year. Individuals submit applications, which are used as the basis for distribution of funds. After the conference or program, the attendee completes an outcomes form and receives reimbursement.	May contain: Application, amount awarded, outcomes form; financial documentation, correspondence	Agency: 3 years	Records Center: 5 years	Archives Center:
				Transfer to State Records Center. Destroy after audit		